



PATENT  
Attorney Docket No.: NICHIA-00700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: ) Group:  
Shuji Nakamura *et al.* ) Art Unit:  
 ) Examiner:  
 )  
Serial No.: 09/463,643 )  
 ) TRANSMITTAL LETTER  
Filed: January 25, 2000 )  
 ) 260 Sheridan Avenue, Suite 420  
For: **NITRIDE SEMICONDUCTOR** ) Palo Alto, CA 94306  
**DEVICE** ) (650) 833-0160

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed please find an Information Disclosure Statement and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. An originally executed duplicate of this transmittal is enclosed for this purpose.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 9/8/00

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))  
I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

HAVERSTOCK & OWENS LLP  
Date: 9/8/00 By: Carleen O'Sin

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Attorney Docket No.: NICHIA-00700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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4-11-01

T. Flowers

In re Application of: ) Group Art Unit:  
Shuji Nakamura *et al.* ) Examiner:  
Serial No.: 09/463,643 ) INFORMATION DISCLOSURE  
Filed: January 25, 2000 ) STATEMENT  
For: **NITRIDE SEMICONDUCTOR** ) 260 Sheridan Avenue, Suite 420  
**DEVICE** ) Palo Alto, California 94306  
(650)833-0160

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicants have become aware of the following printed publications which may be material to the examination of this application:

- Japanese Publication No.: 04144294;
- Japanese Publication No.: 09180998;
- Japanese Publication No.: 09246651;
- Japanese Publication No.: 09260772;
- Japanese Publication No.: 09293935;
- Japanese Publication No.: 10242565;
- Japanese Publication No.: 10256645;
- Japanese Publication No.: 10270792;
- Japanese Publication No.: 10290027;

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HAVERSTOCK & OWENS LLP

Date: 9/10/00

By: *Carleen O'Neil*



PATENT

Attorney Docket No.: NICHIA-00700

- Japanese Publication No.: 10294529;
- Japanese Publication No.: 10321962;
- Japanese Publication No.: 11040893;
- Japanese Publication No.: 2000-31599;
- German Publication No.: DE 196 48 955A1; and
- "InGaN/GaN/AlGaIn-based laser diodes with modulation-doped strained-layer superlattices grown on an epitaxially laterally overgrown GaN substrate," Shuji Nakamura et al., Applied Physics Letter, Vol. 72, No. 2, January 12, 1998.

This Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,

HAVERSTOCK & OWENS LLP

Dated: 9/8/00

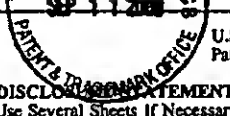

By: Thomas B. Haverstock

Thomas B. Haverstock

Reg. No.: 32,571

Attorneys for Applicants



FORM PTO-1449 (Modified)				U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No.: NICHIA-00700		Serial No.: 09/463,643	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use Several Sheets If Necessary)						Applicant: Shuji Nakamura <i>et al.</i>			
(37 CFR § 1.98(b))						Filing Date: January 25, 2000		Group Art Unit:	
FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS									
		Document Number	Publication Date	Country / Patent Office	Class	Subclass	Translation		
							Yes	No	
BWB	AA	04144294	5/18/92	JP	H01S	3/18	X		
	AB	09180998	7/11/97	JP	H01L	21/20	X		
	AC	09246651	9/19/97	JP	H01S	3/18	X		
	AD	09260772	10/3/97	JP	H01S	3/18	X		
	AE	09293935	11/11/97	JP	H01S	3/18	X		
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	AG	10256645	9/25/98	JP	H01S	3/18	X		
	AH	10270792	10/9/98	JP	H01S	3/18	X		
	AI	10290027	10/27/98	JP	H01L	33/00	X		
	AM	10294529	11/4/98	JP	H01S	3/18	X		
	AN	10321962	12/4/98	JP	H01S	3/18	X		
	BWB	AN	11040893	2/12/99	JP	H01S	3/18	X	
AO		2000-31599	1/28/00	JP	H01S	5/30		X	
AP		DE 196 48 955A1	5/28/97	DE	H01L	33/00		X	
OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)									
	AR	"InGaN/GaN/AlGaIn-based laser diodes with modulation-doped strained-layer superlattices grown on an epitaxially laterally overgrown GaN substrate," Shuji Nakamura <i>et al.</i> , Applied Physics Letter, Vol. 72, No. 2, January 12, 1998.							
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Examiner:						Date Considered: 9/15/01			
EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.									

